

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 1010720-991101

First Inventor Shi Chen

Title Decoding System and Method

Express Mail Label No. EV 302277608 US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

## ADDRESS TO:

Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria VA 22313-1450

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)  
Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 27]  
(preferred arrangement set forth below)  
- Descriptive title of the invention  
- Cross Reference to Related Applications  
- Statement Regarding Fed sponsored R & D  
- Reference to sequence listing, a table,  
or a computer program listing appendix  
- Background of the Invention  
- Brief Summary of the Invention  
- Brief Description of the Drawings (if filed)  
- Detailed Description  
- Claim(s)  
- Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 13]
5. Oath or Declaration [Total Sheets 3]  
a. ☒ Newly executed (original or copy)  
b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)  
i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s)  
name in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or  
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)  
a. ☐ Computer Reader Form (CRF)  
b. Specification Sequence Listing on:  
i. ☐ CD-ROM or CD-R (2 copies); or  
ii. ☐ Paper  
c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☒ 37 CFR 3.73(b) Statement (when there is an assignee) ☒ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1499 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122  
(b)(2)(B)(i). Applicant must attach form PTO/SB/35  
or its equivalent.
17. ☒ Other: Verified Small Entity Statement (2p);  
Check # 550210 for \$ 7460;  
Express Mail EV302277608US;

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Prior application information:

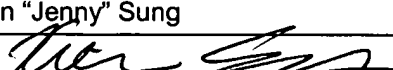
Examiner

Art Unit:

For CONTINUATION OF DIVISIONAL APPS only; The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☒ Customer Number: 26379 OR ☐ Correspondence address below

|                   |   |                                   |                   |
|-------------------|---|-----------------------------------|-------------------|
| Name              | Kieun "Jenny" Sung  |                                   |                   |
| Address           | Gray Cary Ware & Freidenrich LLP<br>2000 University Avenue                          |                                   |                   |
| City              | East Palo Alto  | State                             | California        |
| Country           | United States   | Zip Code                          | 94303             |
| Telephone         | 650-833-2000  | Fax                               | 650-833-2001      |
| Name (Print/Type) | Kieun "Jenny" Sung  | Registration No. (Attorney/Agent) | 48,639            |
| Signature         |  | Date                              | December 22, 2003 |

This collection of information is required by 37 CFR 1.53(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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# FEE TRANSMITTAL

## for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

### Complete if Known

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT

(\$ 741.00)

Application Number

To Be Assigned

Filing Date

December 22, 2003

First Named Inventor

Shi Chen

Examiner Name

To Be Assigned

Art Unit

To Be Assigned

Attorney Docket No.

1010720-991101

### METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None☐ Deposit Account:Deposit  
Account  
Number  
Deposit  
Account  
Name

07-1896

Gray Cary Ware &amp; Freidenrich LLP

The Director is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments☒ Charge any additional fee(s) or any underpayment of fee(s)☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

### FEE CALCULATION

#### 1. BASIC FILING FEE

| Large Entity      |          | Small Entity |          | Fee Description        | Fee Paid |
|-------------------|----------|--------------|----------|------------------------|----------|
| Fee Code          | Fee (\$) | Fee Code     | Fee (\$) |                        |          |
| 1001              | 770      | 2001         | 385      | Utility filing fee     | 385      |
| 1002              | 340      | 2002         | 170      | Design filing fee      |          |
| 1003              | 530      | 2003         | 265      | Plant filing fee       |          |
| 1004              | 770      | 2004         | 385      | Reissue filing fee     |          |
| 1005              | 160      | 2005         | 80       | Provisional filing fee |          |
| SUBTOTAL (1) (\$) |          |              |          |                        | 385.00   |

#### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

| Total Claims       | Extra Claims | Fee from below | Fee Paid  |
|--------------------|--------------|----------------|-----------|
| 50                 | -20** = 30   | X 9 =          | 270       |
| Independent Claims | 5            | -3** = 2       | X 43 = 86 |
| Multiple Dependent |              |                |           |

| Large Entity |          | Small Entity |          | <u>Fee Description</u>                                     |
|--------------|----------|--------------|----------|--|
| Fee Code     | Fee (\$) | Fee Code     | Fee (\$) |  |
| 1202         | 18       | 2202         | 9        | Claims in excess of 20                                     |
| 1201         | 86       | 2201         | 43       | Independent claims in excess of 3                          |
| 1203         | 290      | 2203         | 145      | Multiple dependent claim, if not paid                      |
| 1204         | 86       | 2204         | 43       | ** Reissue independent claims over original patent         |
| 1205         | 18       | 2205         | 9        | ** Reissue claims in excess of 20 and over original patent |
| SUBTOTAL (2) |          |              |          | (\$) 356.00  |

\*\*or number previously paid, if greater; For Reissues, see above

### FEE CALCULATION (continued)

#### 3. ADDITIONAL FEES

Large Entity Small Entity

| Fee Code            | Fee (\$) | Fee Code | Fee (\$) | Fee Description  | Fee Paid |
|---------------------|----------|----------|----------|--|----------|
| 1051                | 130      | 2051     | 65       | Surcharge - late filing fee or oath  |          |
| 1052                | 50       | 2052     | 25       | Surcharge - late provisional filing fee or cover sheet                     |          |
| 1053                | 130      | 1053     | 130      | Non-English specification  |          |
| 1812                | 2,520    | 1812     | 2,520    | For filing a request for <i>ex parte</i> reexamination                     |          |
| 1804                | 920*     | 1804     | 920*     | Requesting publication of SIR prior to Examiner action                     |          |
| 1805                | 1,840*   | 1805     | 1,840*   | Requesting publication of SIR after Examiner action                        |          |
| 1251                | 110      | 2251     | 55       | Extension for reply within first month                                     |          |
| 1252                | 420      | 2252     | 210      | Extension for reply within second month                                    |          |
| 1253                | 950      | 2253     | 475      | Extension for reply within third month                                     |          |
| 1254                | 1,480    | 2254     | 740      | Extension for reply within fourth month                                    |          |
| 1255                | 2,010    | 2255     | 1,005    | Extension for reply within fifth month                                     |          |
| 1401                | 330      | 2401     | 165      | Notice of Appeal   |          |
| 1402                | 330      | 2402     | 165      | Filing a brief in support of an appeal                                     |          |
| 1403                | 290      | 2403     | 145      | Request for oral hearing   |          |
| 1451                | 1,510    | 1451     | 1,510    | Petition to institute a public use proceeding                              |          |
| 1452                | 110      | 2452     | 55       | Petition to revive - unavoidable   |          |
| 1453                | 1,330    | 2453     | 665      | Petition to revive - unintentional   |          |
| 1501                | 1,330    | 2501     | 665      | Utility issue fee (or reissue)   |          |
| 1502                | 480      | 2502     | 240      | Design issue fee   |          |
| 1503                | 640      | 2503     | 320      | Plant issue fee  |          |
| 1460                | 130      | 1460     | 130      | Petitions to the Commissioner  |          |
| 1807                | 50       | 1807     | 50       | Processing fee under 37 CFR 1.17(q)  |          |
| 1806                | 180      | 1806     | 180      | Submission of Information Disclosure Stmt                                  |          |
| 8021                | 40       | 8021     | 40       | Recording each patent assignment per property (times number of properties) |          |
| 1809                | 770      |          |          |  |          |
|                     |          | 2809     | 385      | Filing a submission after final rejection (37 CFR 1.129(a))                |          |
| 1810                | 770      | 2810     | 385      | For each additional invention to be examined (37 CFR 1.129(b))             |          |
| 1801                | 770      | 2801     | 385      | Request for Continued Examination (RCE)                                    |          |
| 1802                | 900      | 1802     | 900      | Request for expedited examination of a design application                  |          |
| Other fee (specify) |          |          |          |  |          |

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 0.00)

### SUBMITTED BY

Name (Print/Type) Kieun "Jenny" Sung

Registration No. 48,639  
(Attorney/Agent)

(Complete (if applicable))

Telephone 650-833-2121

Signature

Date December 22, 2003

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This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

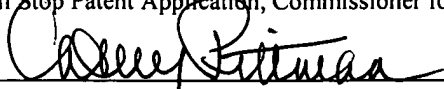
If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

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EXPRESS MAIL NUMBER: EV 302277608 US

DATE OF DEPOSIT: December 22, 2003

I hereby certify that this paper is being deposited with the United States Postal Service "EXPRESS MAIL Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to:  
Mail Stop Patent Application, Commissioner for Patents; P.O. Box 1450, Alexandria, VA 22313-1450.

  
Cathy Pittman

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

\* \* \*

CERTIFICATE OF MAILING

COMMISSIONER FOR PATENTS

P.O. Box 1450

Alexandria, VA 22313-1450

**ATTN: MAIL STOP PATENT APPLICATION**

Sir:

Transmitted herewith for filing is the patent application of:

INVENTORS: Shi Chen et al.

FOR: DECODING SYSTEM AND METHOD

Enclosed are:

- [ 1 ] Utility Application Transmittal Form;
- [27] pages Specification;
- [13] sheets of informal drawings;
- [ 3 ] Declaration for Utility Application;
- [ 1 ] Power of Attorney;
- [ 1 ] Statement Under 37 CFR 3.73(b);
- [ 2 ] Verified Small Entity Statement;
- [ 1 ] Fee Transmittal 2004;
- [ 1 ] Check No. 550210 for \$ 741.00;
- [ 1 ] Certificate of Express Mailing No. EV 302277608 US; and
- [ 1 ] Return postcard.